



North Carolina Department of Health and Human Services
Division of Mental Health, Developmental Disabilities and Substance Abuse Services
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Michael F. Easley, Governor
Carmen Hooker Odom, Secretary

Richard J. Visingardi, Ph.D., Director

October 15, 2003

MEMORANDUM

TO: Area Program Directors

FROM: Rich Visingardi, Ph.D.

RE: Area Authority / County Program Monitoring of Service Providers

Attached is the Provider Monitoring Workbook for routine monitoring of providers, as defined in 10A NCAC 27G .0600 Area Authority or County Program Monitoring of Facilities and Services. These rules require the Secretary to provide a form to area authorities/county programs (AA/CPs) for documenting the results of any monitoring of services on the quality indicators defined in the rules.

We would like to take this opportunity to thank all who helped in the development of this workbook. It is a result of collaboration among the Division of Mental Health, Developmental Disabilities and Substance Abuse Services (DMH/DD/SAS), the Division of Facility Services (DFS), the NC Council of Community Programs with feedback from its members, and the NC Community Support Providers Council with feedback from its members.

It takes time, collaboration and careful thought to develop fair, consistent measures for evaluating compliance with service requirements. We created the attached workbook for use in the interim, while the temporary rules for monitoring services are in effect. The workbook contains a Provider Monitoring Checklist, a Monthly Provider Monitoring Report template, and instructions for their use.

The ***provider monitoring checklist*** is a working document for AAs'/CPs' internal use. It is not to be submitted to DMH/DD/SAS or DFS, but is included to guide AA/CP decisions about how to monitor providers in their catchment areas. It lays out the following:

- The components of the quality indicators listed in the Monitoring Rules that should be the focus of monitoring efforts
- The appropriate location for monitoring each component (corporate office, facility, or community service site)
- Suggestions for types of evidence to review in determining compliance with each requirement
- A three-point scale for determining levels of compliance (Not Met, Partially Met, and Met/Exceeded)
- A narrative section for justification of the rating given

The ***monthly provider monitoring report*** is to be used to report monitoring activities to DMH/DD/SAS and DFS, as required by the monitoring rules. It requires information on the



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upcoming month's monitoring activities and follow-up information on monitoring activities from previous months.

Later this fiscal year, the Department will write permanent rules to replace the temporary rules now in effect. The permanent rules will be filed in March 2004 and take effect July 1, 2004. Any new monitoring tools and procedures will build on our experience in using the temporary rules and attached workbook. Therefore, it is important that we gather information about the monitoring process this year. As you use the workbook, we ask that you make note of what works well and what needs improvement. We will solicit your input as we develop the new guidelines and tools for FY2004-05.

In particular, we would like input from the people in your organization who are responsible for:

Quality Improvement
Provider Monitoring
Utilization Review
Client Rights

Please send your questions and suggestions to ContactDMHQuality@ncmail.net.

Cc: Secretary Carmen Hooker Odom
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